

# **State/Territory Produce Safety Implementation Cooperative Agreement (PAR-16-137) Kick-Off Conference Call October 18, 2016**

## **Agenda**

- Welcome/Opening Remarks
- Grants Management Requirements
- First Year Expectations
- Produce Safety Network (PSN) Overview
- Map of State Awardees & Assigned Project Officers
- Project Officer/Technical SMEs/Grants Management Contacts
- NASDA Role
- Q&A
- Conclusion



# **Grants Management Presented by:**

Dan Lukash

Grants Management Specialist  
FDA Office of Acquisitions and Grants  
Services (OAGS)

# Grants Management Specialist Responsibilities

- Office of Acquisitions and Grants Services (OAGS), Grants Management Specialist
  - Advisor on grants management and funding issues.
  - Provides advice and assistance regarding grant/cooperative agreement application processes and policies.
  - Ensures grantee compliance with the terms and conditions of the grant award.
  - Manages revisions and collection of performance and financial status reports.
  - Performs final closeout procedures.

# Grants Management Key Points

- Cooperative Agreement Funding Mechanism
- Terms and Conditions of Award
- Acknowledgement of FDA Support
- Funding Restrictions
- Prior Approval
- Financial, Mid-Year and Annual/Continuation Reporting (RPPR)

# Terms and Conditions

- Please review your Notice of Grant Award for any special terms and conditions specific to your award.

# Cooperative Agreement

- Support mechanisms are used when there will be substantial Federal scientific or programmatic involvement:
  - Technical assistance and guidance
  - Coordination with other grantees
  - Development and participation in project activities
- Grantee/Principal Investigator/Project Director maintains primary responsibility for meeting the goals and objectives of the cooperative agreement

# Acknowledgement of Federal Support

- All awardees receiving Federal funds, including but not limited to state and local governments and recipients of Federal research grants, shall clearly indicate:
  - *\*Funding for this statement, publication, press release, etc. was made possible, in part, by a grant through the Food and Drug Administration. The views expressed in written materials or publications and by speakers and moderators do not necessarily reflect the official policies of the Department of Health and Human Services; nor does any mention of trade names, commercial practices, or organization imply endorsement by the United States Government\**

# Funding Restrictions

- Program funds may not be used for any purpose other than those directly supporting the goals of the cooperative agreement
- Non-allowable costs (federal policy and guidelines also include many others, this is not an all-inclusive list):
  - Vehicle purchases are not permitted
  - Cooperative agreement funds may not be utilized for new building construction or remodeling
  - Food (except per diem associated with travel)

# Funding Restrictions

- Subcontracting to third parties is limited to 40% of each year's award (i.e. budget period)
- No subcontracting award funds to awardees receiving funding under cooperative agreement program (grant) RFA-FD-16-030 – “Limited Competition for Revision Applications for National Research Project to Assess State Agricultural Laws, Regulations and Resources Related to Produce Safety”
  - This cooperative agreement (grant) was awarded to the National Association of State Departments of Agriculture (NASDA) by the FDA for continued work in Fiscal Year 2017

# Funding Restrictions

- Facilities, salaries, training, and other expenses reimbursed under other funding mechanisms must remain distinct and separate from the cooperative agreement.
- Budgets will be reviewed as an ongoing process throughout the year and grantees may be asked to justify costs or revise budgets as needed to be compliant with government grant policies.
- To the greatest extent practicable, all equipment and products purchased with FDA funds should be American-made.
- Please refer to the HHS Grants Policy Statement for additional information regarding allowable and non-allowable costs.

# Activities that Require Prior Approval

- The following activities require prior approval by FDA before being implemented by the grantee, its employees, or designee:
  - Change in scope or objectives
  - Change in key personnel
  - Budget revision
  - Change in grantee organization
  - Change in key partner organization(s)
  - Any deviation from the terms and conditions of the award
  - Carryover of unobligated balances

## Prior Approval, Cont'd

- The following activities require prior approval by FDA before being implemented by the grantee, its employees, or designee:
  - Significant re-budgeting of 10% or more of the total funds authorized under the current year's award
  - *Note:* Grantee must notify FDA when re-budgeting less than 10%, even though FDA approval is not required
    - This re-budgeting shall be reported in the mid-year and annual progress reports
    - The 10% threshold is cumulative over the course of the budget period
  - Request for no-cost extensions (at close of project period)

# Federal Financial Report (FFR) SF 425

- Annual FFRs must be submitted for each budget period no later than 90 days after the end of the calendar quarter in which the budget period ended.
- FDA now requires all annual financial expenditure reports to be submitted electronically using the Federal Financial Report (FFR) system located in the eRA Commons.

# Programmatic Administrative Grant Requirements Presented by:

## ORA Office of Partnerships

- CAPT Will Foust
- Graham N. Giesen
- Denise Beutenmuller
- LCDR Doreen Gubbay

# Project Officer Responsibilities

- In conjunction with OAGS and Technical Advisors, OP Project Officer's responsibilities include:
  - Monitoring progress and verifying project milestones/due dates are met
  - Setting up calls/meetings with grantees
  - Programmatic approval of reports
  - Coordinate activities within the Cooperative Agreement Program
  - Review/recommend approval of progress reports, budget modifications, changes in the scope of work, and other grants management activities

# Programmatic Administrative Grant Requirements

- An in-depth review of all of this program's requirements is beyond the scope of this meeting, however, FDA, in cooperation with NASDA is also planning a series of technical sessions and webinars regarding the various deliverables and expectations of the program.
- These sessions are intended to provide additional information that will aid in the development of your program and provide information that will promote consistency across all awardees.
- This will also be an opportunity to ask technical questions and receive guidance from FDA SMEs.

# Programmatic Administrative Grant Requirements

## Proposed Informational Webinar Schedule

- November 30, 2016: Information Technology Planning
- December 2016: Strategic Planning (planning, hiring, networking)
- January 2017: Commissioning and Credentialing

## Further Considerations:

- We want your input!
- Tell us what type of webinars you want and need
- Our offices want to make this program a success in your state!

# Programmatic Administrative Grant Requirements

- **Monitoring Activities (per the Funding Opportunity Announcement)**
  - Monitoring may be in the form of, but not limited to, telephone conversations, e-mails, or written correspondence between the project program office/grants management office and the principal investigator.
  - Periodic site visits with officials of the funding recipient organization may also occur.
  - Frequency of monitoring may vary according to the specific program objective, grantee or issue.

# Programmatic Administrative Grant Requirements

- Programmatic Terms and Conditions of Award
  - Mid-Year Progress Report
    - A Mid-Year Progress Report is to be submitted 30 days following the end of the first 4 months of the budget period.
    - Specific reporting elements are listed in your Notice of Grant Award.

# Programmatic Administrative Grant Requirements

- Annual Progress Reporting:
  - The Annual Progress Report will be due as part of the Research Performance Progress Report (RPPR).
    - The RPPR is submitted through eRA Commons
    - Specific reporting elements are listed in your Notice of Grant Award
- Carry-over funding

# Programmatic Administrative Grant Requirements

- Programmatic Terms and Conditions of Award
  - National Consortium Meetings
    - Grantees shall reserve and utilize a portion of their funding for travel of PI and/or project staff to attend at least two (2) meetings per year of the National Consortium for Produce Safety Program Development

# Programmatic Administrative Grant Requirements

- **10-Month Initial Budget Period**
  - During the first year of this program, FDA has set a 10-month initial budget period
  - This allows FDA to align the continuation application dates before the end of the fiscal year
  - Only the first year of the cooperative agreement (grant) will have a 10-month budget cycle (i.e. 9/5/16 – 6/30/17)
  - Subsequent budget periods will be 12-months (e.g. 7/1/17 – 6/30/18, etc.)
  - Carryover requests can be made at the end of the budget period to provide more time for the necessary activities to be completed

# Programmatic Administrative Grant Requirements

[Found in the Notice of Award (NOA) Issued to Each Grantee]

- FDA to ensure compliance with this cooperative agreement (grant)
- FDA may conduct audits and/or request meetings, as appropriate:
  - FDA is responsible for agency staff travel
  - Grantee will incur travel expenses for awardee staff to meet with FDA
- Grantee organization must comply with all special terms and conditions of this cooperative agreement

# Programmatic Administrative Grant Requirements

[Found in the Notice of Award (NOA) Issued to Each Grantee]

- All resources, records, and other documents generated under this agreement will be made available upon request to FDA
- Future funding will be dependent on recommendations from the Project Officer(s) and the availability of funds:
  - Acceptable progress within timeframes
  - If progress concerns are identified, then the grantee will be required to implement corrective actions

# Programmatic Administrative Grant Requirements

[Found in the Notice of Award (NOA) Issued to Each Grantee]

- A determination of the grantee's conformance with the cooperative agreement will be made based on multiple factors:
  - Grantee's assessment
  - Progress reports
  - Onsite visits
  - Potential audits

# Programmatic Administrative Grant Requirements

## Corrective Actions:

- Sometimes implemented activities don't provide the desired outcome
- If the objective and goals of the cooperative agreement are not being met, a corrective action plan must be submitted
- Corrective action plans detail steps to ensure satisfactory grant performance and deliverables
- Technical assistance will be provided to assist in implementing corrective action objectives
- Future funding will be dependent on recommendations of the Project Officer and the availability of funds

# First Year Expectations

## Strategic Planning Competition A

- The focus of Year 1 is dedicated to planning activities for Years 2-5
- Competition A activities include:
  - Jurisdictional Self-Assessment
  - Farm Inventory
  - Legislative Research
  - Infrastructure Development
  - Education and Outreach and Technical Assistance to Growers
    - On Farm Advisory Review (optional in Year 2)

Note: Technical Assistance Network (TAN)

<http://www.fda.gov/Food/GuidanceRegulation/FSMA/ucm459719.htm>

# First Year Expectations

## Strategic Planning Competition A/B

- Education, Outreach and Technical Assistance to Regulators
- Inspectional Program Development
- Program Expansion Funding Opportunity Announcement (FOA) to apply for Competition B activities is anticipated to be posted in early 2017

# First Year Expectations Strategic Planning

- **Additional Requirement:**
  - 2 CFR 200
  - Development of Performance Metrics
  - Webinar coming soon!

# First Year Expectations Strategic Planning

- **Additional Considerations:**

- Coordinate, leverage and/or support education, outreach and technical assistance efforts for industry in the State
  - FSMA Training:  
<http://www.fda.gov/Food/GuidanceRegulation/FSMA/ucm461513.htm>
- Establish and/or enhance partnerships with key produce safety stakeholders (including FDA's Produce Safety Network, other federal, state, local partners, industry, academia, etc.)
- Ensure personnel involved in produce safety receive training on the Produce Safety Rule requirements (i.e., Produce Safety Alliance (PSA) grower training)
- Participation in the National Consortium for Produce Safety



# **Produce Safety Network (PSN) Overview**

**Presented by:  
Stephen Hughes, CFSAN**

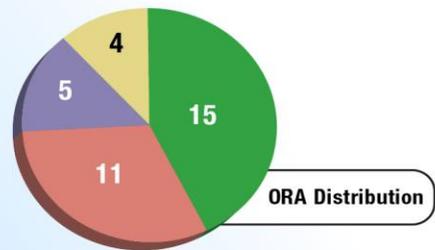
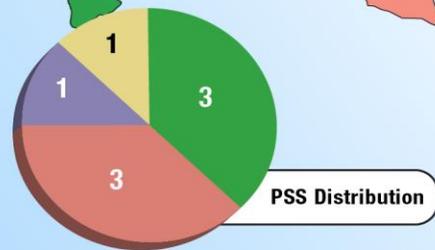
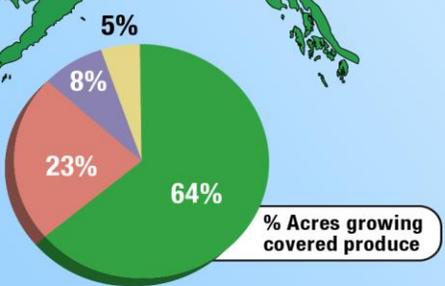
# FDA Regional Produce Safety Network



**NIFA Regions**

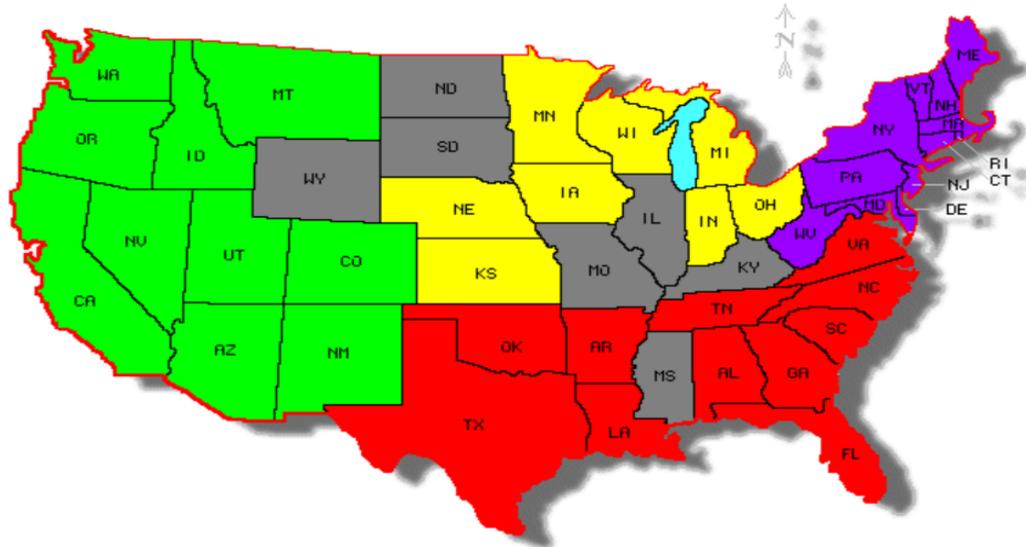
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<span style="color: yellow;">■</span> North Central	<span style="color: red;">■</span> Southern

◆ Produce Safety Staff = 8  
 # ORA Staff = 35



# Awardees & Project Officer Assignments

- - Western Region
- - North Central Region
- - Northeast Region
- - Southern Region
- - Non-Grantee States



Awardee	PSN Region	OP Project Officer
AK	Western	Graham Giesen
AL	Southern	Denise Beuttenmuller
AR	Southern	Denise Beuttenmuller
AZ	Western	Graham Giesen
CA	Western	Graham Giesen
CO	Western	Graham Giesen
CT	Northeast	Doreen Gubbay
DE	Northeast	Doreen Gubbay
FL	Southern	Denise Beuttenmuller
GA	Southern	Denise Beuttenmuller
HI	Western	Non-Grantee State
IA	North Central	Alicia Schroder
ID	Western	Graham Giesen
IL	North Central	Non-Grantee State
IN	North Central	Alicia Schroder
KS	North Central	Alicia Schroder
KY	Southern	Non-Grantee State

Awardee	PSN Region	OP Project Officer
LA	Southern	Denise Beuttenmuller
MA	Northeast	Doreen Gubbay
MD	Northeast	Doreen Gubbay
ME	Northeast	Doreen Gubbay
MI	North Central	Alicia Schroder
MN	North Central	Alicia Schroder
MO	North Central	Non-Grantee State
MS	Southern	Non-Grantee State
MT	Western	Graham Giesen
NC	Southern	Denise Beuttenmuller
ND	North Central	Non-Grantee State
NE	North Central	Alicia Schroder
NH	Northeast	Doreen Gubbay
NJ	Northeast	Doreen Gubbay
NM	Western	Graham Giesen
NV	Western	Graham Giesen
NY	Northeast	Doreen Gubbay

Awardee	PSN Region	OP Project Officer
OH	North Central	Alicia Schroder
OK	Southern	Denise Beuttenmuller
OR	Western	Graham Giesen
PA	Northeast	Doreen Gubbay
Puerto Rico	Southern	Non-Grantee State
RI	Northeast	Doreen Gubbay
SC	Southern	Denise Beuttenmuller
SD	North Central	Non-Grantee State
TN	Southern	Denise Beuttenmuller
TX	Southern	Denise Beuttenmuller
UT	Western	Graham Giesen
VA	Southern	Denise Beuttenmuller
VT	Northeast	Doreen Gubbay
WA	Western	Graham Giesen
WI	North Central	Alicia Schroder
WV	Northeast	Doreen Gubbay
WY	Western	Non-Grantee State

# Programmatic Administrative (OP/CGS) Project Officer Contact Info

- Alicia Schroder, Lead Project Officer  
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425-582-3148
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240-506-7618
- Graham Giesen, Project Officer  
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214-790-4986
- Doreen Gubbay, Project Officer  
[Doreen.Gubbay@fda.hhs.gov](mailto:Doreen.Gubbay@fda.hhs.gov)  
240-778-9220

# Office of Acquisitions and Grants Services (OAGS), Grants Management Specialist

- Dan Lukash  
[Daniel.Lukash@fda.hhs.gov](mailto:Daniel.Lukash@fda.hhs.gov)  
240-402-7596

# CFSAN Technical Advisor

- Stephen Hughes, Technical Advisor  
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240-402-2833

The background of the slide is a photograph of fresh produce, including several bright orange carrots and a head of purple cauliflower, set against a soft, out-of-focus green background of foliage.

# **NASDA's Role in Assisting with the State Produce Safety Cooperative Agreements**

**Presented by:  
Art Johnstone, NASDA**

# NASDA's Role in Assisting with the State Produce Safety Cooperative Agreements

- Continue working with States to plan/develop/implement all 11 focus areas outlined in the Model Produce Safety Implementation Framework
- Play a leadership role in the National Consortium for Produce Safety Program Development
- Work with States and FDA to build State Produce Safety Programs that are nationally aligned and consistent
- Support States and Extensions as they develop and deliver On-Farm Advisory Review tools and resources, with the goal of offering proactive assistance to farmers as they plan for implementation of the Produce Safety Rule

# Proposed NASDA Plan for Coordination and Sharing of Work Between States

- Working subgroups will be established for each of the six broad objectives outlined in PAR-16-137
- Each state will be a lead and/or a participant in a minimum of 2 and up to 5 of the subgroups
- Each subgroup will develop a charge to guide their work, with objectives/deliverables and due dates, to be approved by Consortium leadership.
- Work products from each subgroup will be shared with all other states/territories via a secure website or share drive.
- The NASDA Model Produce Safety Implementation Framework will serve as a guide for the work done by each subgroup

## **Proposed NASDA Plan for Coordination and Sharing of Work Between States**

- Monthly Consortium Webinars with FDA/Consortium Partners will be held, ideally with a dual focus:
  - Check-in regarding subgroup progress and needs
  - More in-depth coverage of one or two topics (IT, Farm Inventory, Staff Planning, etc.)
- NASDA may hold additional calls each month, as needed, to assist states and monitor progress

# National Consortium for Produce Safety Program Development 2017 National Planning Meeting

## Participants:

- State Produce Safety Staff from the 42 States with FDA Produce Safety Program Development Cooperative Agreements (ideally the Principal Investigator, Produce Safety Managers, and/or Key State Staff)
- FDA Produce Safety Network Staff and other FDA Staff involved with the implementation of the Produce Safety Rule
- NASDA, AFDO, ASTHO and any other groups or associations involved with the work of the National Consortium for Produce Safety Program Development

# **National Consortium for Produce Safety Program Development 2017 National Planning Meeting**

## **Location:**

- Hilton Orlando/Altamonte Springs, 350 Northlake Blvd, Altamonte Springs, FL 32701
- Rooms are being held at a negotiated rate for all participants
- A reservation link will be coming soon

## **Dates:**

- Travel on Monday, February 27
- Meet Tuesday through Thursday, Feb 28, March 1, and March 2
- Travel home evening of March 2, or morning of March 3

# National Consortium for Produce Safety Program Development 2017 National Planning Meeting

- **Funding:**
- States can use their FDA Produce Safety Cooperative Agreement to cover travel costs for this important national meeting

# NASDA Contacts for the National Consortium for Produce Safety Program Development

- Bob Ehart, NASDA Senior Policy and Science Advisor and Principle Investigator for NASDA's Produce Safety Consortium Cooperative Agreement  
(202) 296-9680 or [bob@nasda.org](mailto:bob@nasda.org)
- Art Johnstone, NASDA Produce Safety Project Manager  
(850) 251-4184 or [ajohnstone@grantpartnersinc.org](mailto:ajohnstone@grantpartnersinc.org)

# Q&A ?

If you have a question that you were not able to ask during today's presentation or have additional questions or comments, you are encouraged to contact your assigned Project Officer provided in the presentation.

# Conclusion

- Project Officers will be reaching out to set up smaller group calls with assigned grantees.
- Next program-wide call will be the IT Webinar planned for November 30, 2016 (invite pending).



**Thank you!**